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CABINET SUBMISSIONS



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CABINET SUBMISSIONS

Guidelines for preparing multi-year
plan submissions, policy proposals,
legislation and regulations.

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245	00	Short-term outlook for Canadian crude oil to 2006 : ban energy market assessment.
260		[Calgary] : bNational Energy Board, c2005.
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Guidelines for preparing multi-year
plan submissions, policy proposals,
legislation and regulations.



Cabinet Office

July 1974

TABLE OF CONTENTS

I Introduction

Purpose of guidelines

Kinds of submissions

II Multi-Year Plan

III Policy Proposals

Initiation

Liaison

Presentation and Format

- Index
- Summary
- Proposal
- Appendix

IV Legislation

Notice of Bills

Liaison

Policy

Legislative Counsel

Presentation and Explanatory Data

Approvals

Introduction into the Legislature

V Regulations

Appendix A - Cabinet Submission Stationery

Appendix B - Information Sheet for Regulations

INTRODUCTION

These guidelines set out the format for the preparation and submission of policy and other proposals to Cabinet.

Clear, concise submissions containing evidence of prior consultation with other ministries and Management Board Secretariat, assist Ministers to grasp quickly the essential elements of proposals. This prior consultation saves Ministers time and allows them to appreciate the political implications.

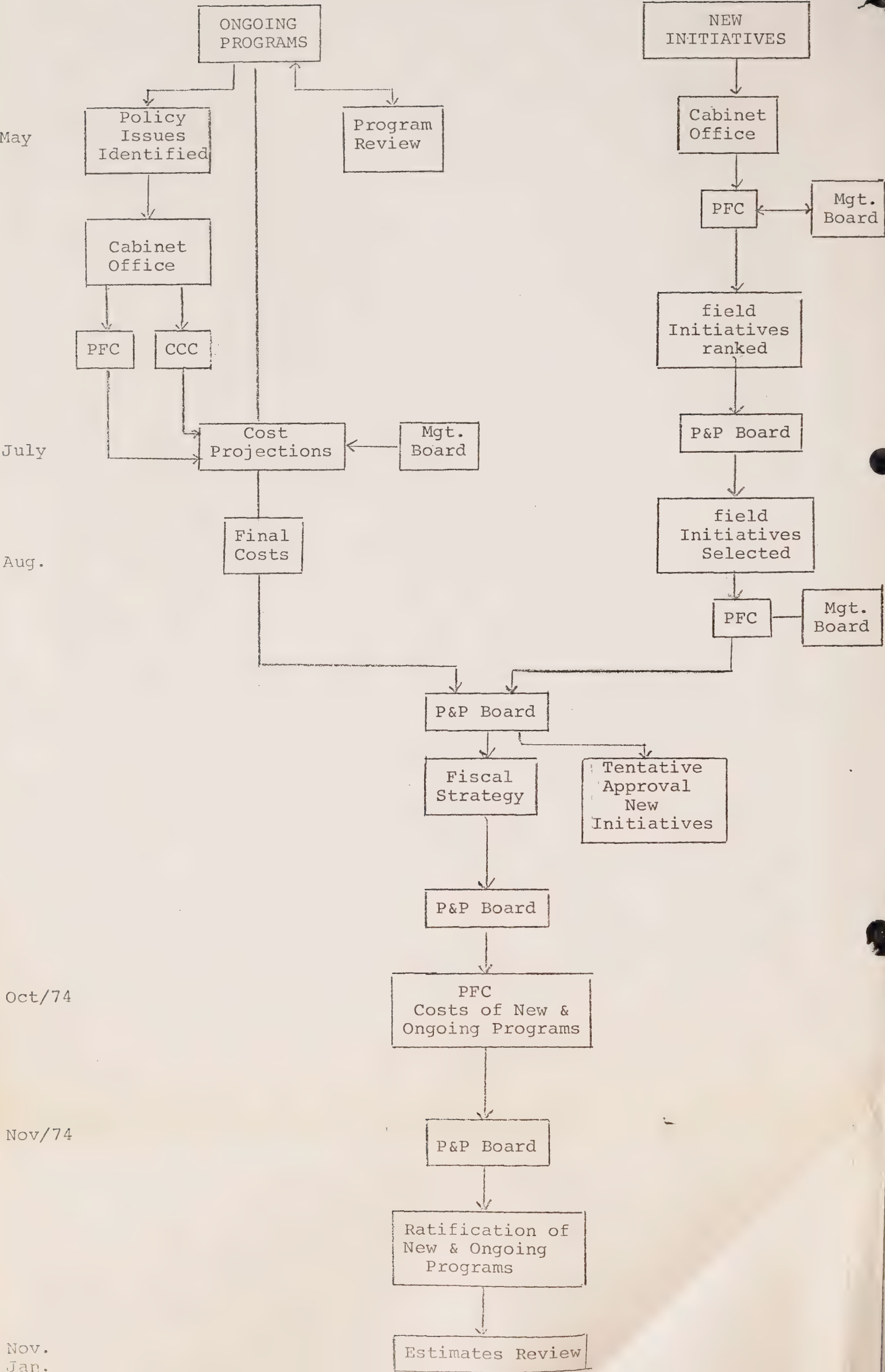
The proposed submission formats and the outline of steps to be followed prior to a submission being presented to Cabinet are designed to expedite policy approval.

Cabinet submissions are of four kinds:

- a) Multi-Year Plan - the expenditure proposals for succeeding fiscal years.
- b) Policy - specific requests for Cabinet approval or direction.
- c) Legislation - draft bills for Cabinet approval.
- d) Regulations - new or amendments to old regulations.

Each kind of Cabinet submission receives Cabinet approval, but each follows a somewhat different path or process. The particular process followed is detailed in the following sections.

MULTI YEAR PLAN 1974



II MULTI YEAR PLAN SUBMISSIONS

The multi year plan is a projection of the government's policies and expenditures over the next few fiscal years. The plan involves both ongoing policies and programs and new government initiatives.

Ongoing Programs

The costs of ongoing programs form the bulk of the government's expenditure. During May and June, the Management Board works with the ministries developing their cost projections. This review identifies:

- i) anticipated changes in clientele and utilization patterns and related cost implications;
- ii) the impact of inflation on the capital and operating programs;
- iii) the components of ongoing programs requiring policy clarification.

As a result of this review, policy issues requiring review are referred to Policy Field Committees and the Coordinating Committees of Cabinet.

By early August, ministries, together with Management Board will have finalized the costs of their ongoing programs.

New Programs

From the funds remaining after the ongoing programs are funded, the government must finance the new initiatives it wishes to undertake.

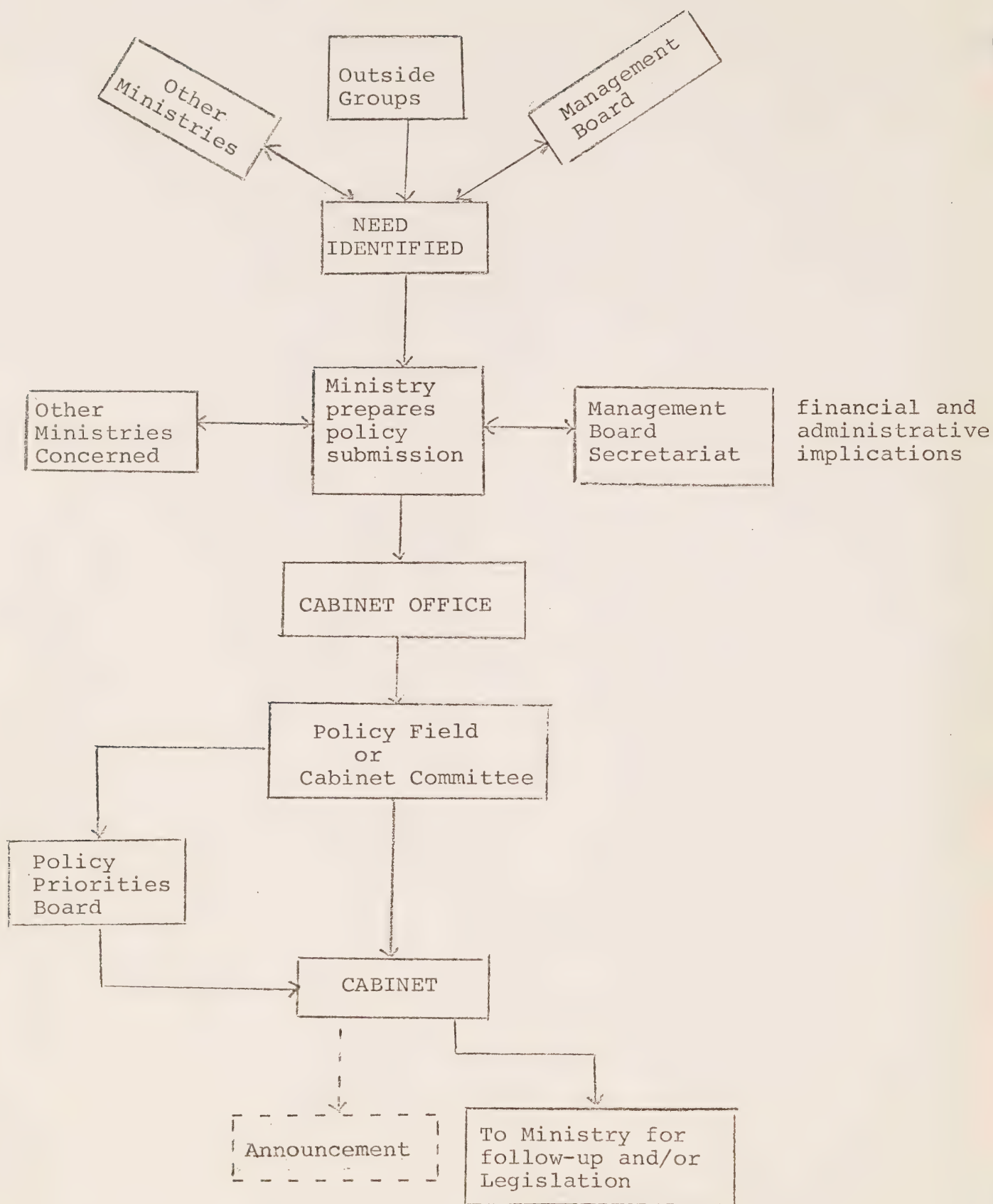
In order that a selection can be made and priorities placed on the new policies and programs, in April or May each ministry is asked to identify in brief outline, the new initiatives it would like to undertake during the next few years. Only preliminary cost estimates are asked for at this stage. These proposals are then reviewed by the appropriate committee of Cabinet, ranked, and recommended to the Policy and Priorities Board. At this point the Board is able to consider all the new proposals from all sources at the same time, thus getting an overview of all new government initiatives.

During early July, the Board makes its preliminary selection from amongst the new ideas put forward. These are then returned to the Policy Field Committees for further developmental work. Here policy is refined and required resources determined.

Ministries are informed which policy proposals to develop, including, at this point, cost estimates. These proposals are again submitted to the Policy Field and finally to Policy and Priorities Board for combining with the ongoing expenditures for ongoing programs. The final selection of the new programs to be allocated funds for the next fiscal year is made at this point, that is, between October and December.

Policy submissions and new initiatives to be proceeded with immediately or within the next fiscal year, can also be made outside of the multi year plan process. The process and format to be followed is the same as described in section III.

POLICY SUBMISSIONS



III POLICY PROPOSALS

Initiation

Policy proposals can originate in a number of ways - in the ministry, where need is observed by those dealing directly with the public, in agencies of government whose work meshes with that of ministries, or as a result of expressed concerns of outside groups.

A formal proposal to Cabinet is normally the responsibility of one minister. However, if the subject involves two or more ministries, a joint submission may be desirable.

Major policy initiatives often require Cabinet approval at various stages. In these cases, quite often more than one submission to Cabinet will be required. The first submission would be for approval in principle for the overall concept, together with the request for approval to undertake the next step, for example, a study or a hearing. The second submission would be based on the information obtained from the study or hearings and could modify the first submission considerably.

Liaison

It is essential that prior consultation be held with all affected ministries and agencies, including the Management

Board Secretariat, on the financial and administrative implications of the submission, before it is presented to Cabinet. In some cases, the financial and administrative estimates will be rough at best, but the order of magnitude should be indicated.

This consultation may vary from the writing of a joint submission to the soliciting of comments in support of a submission or to the presentation of differing points of view within the same submission.

Presentation and Format

All policy submissions and supporting documents should be addressed and forwarded in 36 copies to the Cabinet Office, sufficiently in advance of the date when a decision is required.

Ample lead time should be built into the policy development procedures within ministries and is absolutely essential to permit Cabinet members to give full and fair consideration to all proposals.

The minimum lead time for routine items is one full week in advance of the Cabinet/Committee meeting, substantially longer for complex items.

On receipt, submissions are formally registered and numbered as Cabinet documents and are placed on the agenda of

the appropriate Cabinet Committee or of Cabinet as a whole.

Revised submissions should be identified in the top right hand corner of the index page - e.g. Revision of Submission dated May 15, 1974.

Uniformity of format facilitates the handling of policy proposals. (See appendix A for sample pages.) Submissions should be unbound.

The five basic parts of a policy submission include:

- a) Title
- b) Index
- c) Summary
- d) Policy proposal
- e) Appendix

a) Title

The submission title should describe concisely the proposal presented. Its careful selection is important as it guides the Cabinet Office in choosing the agenda heading. This heading continues to identify the proposal through its consideration, unless, of course, at some stage there is a major shift in the definition of the problem. It also serves as the title for the decision communicated back to the ministry.

In the case of supplementary submissions relating to established agenda items, the title from the original submission should be used, providing it has not been changed, as indicated above.

b) Index

The index should list all items forming part of the submission, the policy proposal, and each of the supporting documents in the appendix.

c) Summary

The summary of the policy proposal should contain:

- i) The problem or issue stated concisely in one paragraph.
- ii) Optional courses of action in point form, listing pros and cons.
- iii) Specific recommendations worded as closely as possible to the Cabinet decision desired.
RECOMMENDATIONS SHOULD BE TYPED IN CAPITAL LETTERS.
- iv) Signature of the minister responsible for the submission.

d) Policy Proposal

The detailed policy proposal should contain:

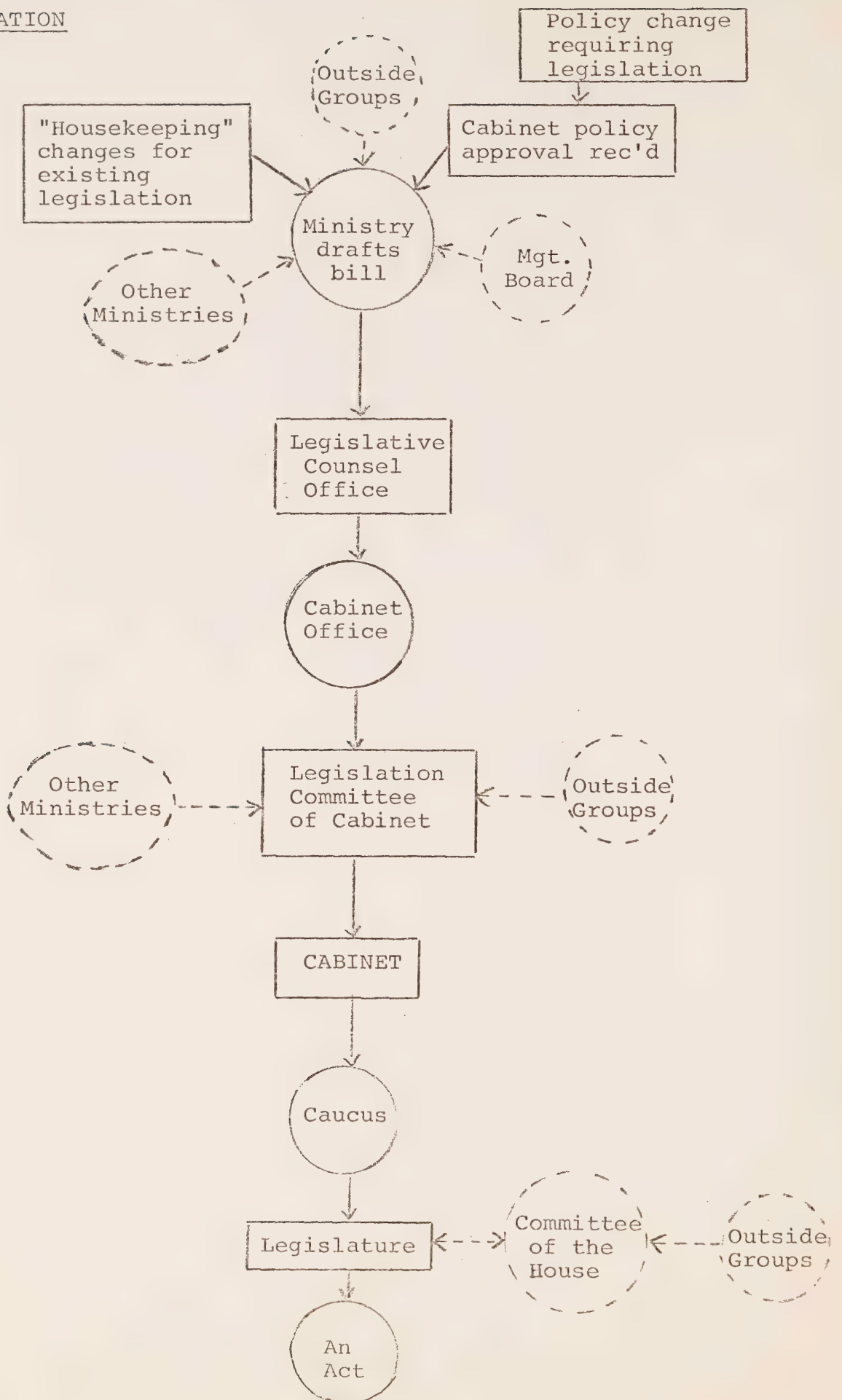
- i) The problem or issue stated concisely and including - the degree of urgency, giving dates where possible, and the relationship to established policies and priorities.

- ii) Relevant background information.
- iii) Optional courses of action including:
 - financial and administrative implications projected over the multi-year plan period;
 - interministerial implications or impact on other agencies;
 - intergovernmental implications;
 - existing legislative authority and/or regulations and any new or amending legislation that may be necessary.
 - other pertinent information -e.g. effects on the private sector.
- iv) Schedule for public hearings if applicable.
- v) Public announcement - time and by whom.
- vi) Conclusions.
- vii) Recommendations (same as c)iii)).

e) Appendix

Supporting documents such as tables, maps, correspondence, etc., comments by Management Board and the Ministry of Treasury, Economics & Intergovernmental Affairs and other affected agencies, should be placed in the appendix.

LEGISLATION



IV LEGISLATION

1) Notice of Bills

Prior to each session of the Legislature, a list of bills to be introduced during that session should be submitted to the Chairman of the Cabinet Committee on Legislation and to the Cabinet Office.

2) Liaison

As with other Cabinet Submissions, prior consultation with affected ministries may be necessary during the drafting of legislative proposals.

If financial or administrative implications exist, the legislative proposals must be submitted to Management Board for approval.

3) Policy

If the proposed legislation affects policy, the ministry should first submit its proposal for policy approval to the Cabinet Office for consideration by the appropriate Cabinet Committee. (See Section A).

4) Legislative Counsel

After all policy approvals are obtained, or if the proposed legislation is routine or housekeeping in nature and does not require policy approval, the ministry should submit the draft legislation to Legislative Counsel for review or preparation of the bill.

5) Presentation and Explanatory Data

Following this, bills should be submitted in 15 copies to the Cabinet Office with comments and explanatory data where applicable as follows:

- A statement of the general purpose and objectives of the bill.
- Commentaries on sections where appropriate.
- Information regarding effects on, or changes to, present policies and practices.
- A reference as to whether the proposals implement recommendations of any Commission or Committee.
- Information as to consultations with, and comments of, any group or association that the legislation may particularly affect.
- Comments as to priority within the ministry's legislative program.
- Information in regard to comparable legislation in other jurisdictions.

6) Approvals

Recommendations of the Cabinet Committee on Legislation will be included in the Committee report to Cabinet. All bills must receive final approval by Cabinet.

7) Introduction into the Legislature

After approval, the minister will arrange with the House Leader for introduction of the bill into the Legislature. Legislative Counsel should also be advised.

Information Sheet for Regulations

Ministry		Branch	
Prepared by		Title	
		Telephone No.	

1. Act (Title and R.S.O. Ref.)	
2. Title of Regulation	
3. Purpose	
4. Type of Submission	Type of Textual Change
<input type="checkbox"/> New <input type="checkbox"/> Amended (Explain) ▶	<input type="checkbox"/> Word <input type="checkbox"/> Sentence <input type="checkbox"/> Paragraph <input type="checkbox"/> Number
5. Urgent	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
6. Consistent with Government Policy	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
7. Affects Public	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
8. Affects Other Programs	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
9. Retroactive	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
10. Unusual or Unexpected Use	
<input type="checkbox"/> No <input type="checkbox"/> Yes (Explain)	
11. Other Considerations	

APPENDIX A



Cabinet Submission

Revision of Submission dated

Ministry

Date

Page No.

SAMPLE

*I think
this is now
Wednes.*

6. Committee Meetings

The Committee meets every Tuesday afternoon at 3:15 P.M., or at the call of the chair.

7. Preparation of Material

(a) Proposed "amendments" to existing regulations -

(i) provide Committee with copies of the "existing" regulation or affected parts thereof that are being amended,

(ii) mark in the margins of the photo-copies of the amended regulation (manually) using the following abbreviations:

new section	NS
new subsection	NSS
new clause	NC
new subclause	NSC
word change(s)	WC
numeric change	#C
new paragraph	NP

(iii) use any other appropriate marginal notes that will add to the understanding of the change.

Please refer to attached example for further guidance.

(b) Proposed new Regulations -

(i) use any appropriate marginal notes that will clarify any component of the proposed regulation.

8. Representation

Ministry representatives need attend only at the request of the Chairman or Vice-Chairman of the Committee and will be notified in advance by the Secretary.

Filing of
Regulation

The Ministry must file the two copies of the regulation with the Registrar of Regulations, for it to come into force; the Registrar publishes the regulation in the Ontario Gazette within one month of its filing to notify the public.

Committee
Meetings

Submissions to Cabinet Office	<p>Send to Room 370, Legislative Building, c/o Secretary to Committee on Regulations:</p> <ul style="list-style-type: none">i) 1 original and 2 copies, (Blue cornered documents with Registrar's seal)ii) 23 photocopies of each proposed regulation ,iii) for "proposed amendments" to existing regulations, 23 copies of the existing regulation or affected parts thereof,iv) 27 copies of the "Information Sheet" accompanying each proposed regulation.
Deadline for Submissions	<p>Submissions received before 4:00 p.m. each Thursday will be put on the Agenda of the Committee on Regulations for the meeting of the following week.</p>
Recommendations by Committee	<p>Committee recommendations are referred to the subsequent Cabinet meeting for approval.</p>
Signature of Lieutenant Governor	<p>Regulations approved by Cabinet are signed by the Lieutenant Governor, after which the original is filed with Orders-in-Council and the two copies are returned to the Ministry by the Office of the Executive Council.</p>

PROCEDURES

- Pertains to All ministries, boards, or other government agencies submitting proposed regulations for approval by the Executive Council, unless otherwise agreed by a Minister and the Chairman of the Committee.
- Preparation of Proposed Regulations:
- i) Prepare the proposed regulation with the advice and assistance of the Registrar of Regulations as required;
 - ii) (a) submit the proposed regulation to the Registrar of Regulations for the affixing of the seal,
 - (b) concurrent with (a) above, prepare and submit 1 copy of the Information Sheet relating to the regulation (See appendix B);
 - (c) 2 copies of proposed regulation in addition to the original should have the official seal of the Registrar and the Minister's signature.
- Management Board All proposed regulations having financial or administrative implications must be "submitted to and approved by" Management Board before going to Cabinet Office.

V REGULATIONSAUTHORIZATION

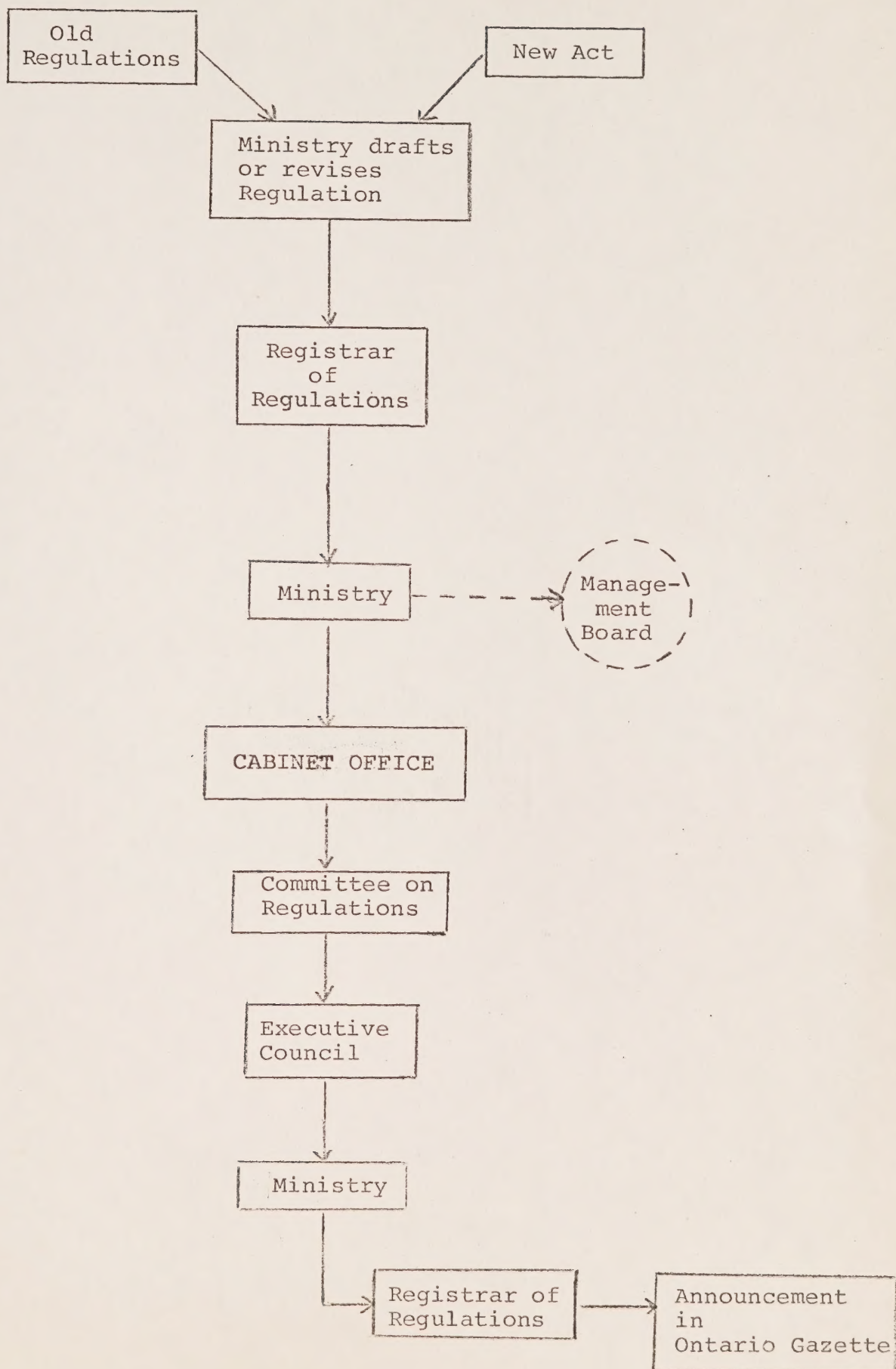
The Committee on Regulation was established at the request of the Premier in October, 1972.

FUNCTIONS

The Committee's responsibilities include:

- a) Purpose, need and the statutory authority for each proposed regulation;
- b) The effect of the proposed legislation on the public in general and on particular classes of individuals, associations or organizations;
- c) Whether the regulation is in line with Government policy;
- d) The possible effects of the proposed regulation on other Government programs;
- e) Retroactive effect of the regulation;
- f) Unusual or unexpected use of the powers conferred by the regulation;
- g) Political considerations, if any;
- h) Any other special feature meriting the attention of Cabinet.

REGULATIONS





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